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|--|------------------------|---|------------------------|--|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No. | | 100-23800 (P05751) | |
| | First Inventor | | Peter J. Hopper et al. | |
| | Title | Method of Forming Through-The-Wafer Metal Interconnect Structures | | |
| | Express Mail Label No. | | EV342470621US | |

| | | |
|---|--|--|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 ADDRESS TO: | 22141 U.S. PTO 10/728319  |
|---|--|--|

| | |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification <i>Total Pages</i> 15 (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <i>Total Sheets</i> 7 5. Oath or Declaration <i>Total Sheets</i> 2 a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies |
|---|---|

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
 (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS Citations
 Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
 Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

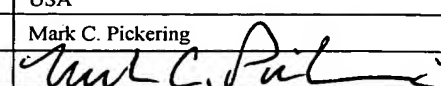
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | | | | |
|---|---|-----------------------------------|----------------|--|----------------|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | | 33402 | | or <input type="checkbox"/> Correspondence address below | |
| Name | Mark C. Pickering | | | | |
| Address | P.O. Box 300 | | | | |
| City | Petaluma | State | CA | Zip Code | 94953-0300 |
| Country | USA | Telephone | (707) 762-5500 | Fax | (707) 762-5504 |
| Name(Print/Type) | Mark C. Pickering | Registration No. (Attorney/Agent) | 36,239 | | |
| Signature |  | | | Date | 12-4-03 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS: SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

FEE TRANSMITTAL

For FY 2004

Patent Fees are subject to annual revision.

EV342470621US

TOTAL AMOUNT OF PAYMENT \$810

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge any fees or credit any overpayment under 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 502305

LAW OFFICES OF MARK C. PICKERING

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| LARGE ENTITY | | SMALL ENTITY | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|-----------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 770 | 2001 | 385 | Utility | 770 |
| 1002 | 340 | 2002 | 170 | Design | |
| 1003 | 530 | 2003 | 265 | Plant | |
| 1004 | 770 | 2004 | 385 | Reissue | |
| 1005 | 160 | 2005 | 80 | Provisional | |
| SUBTOTAL (1) | | | | | 770 |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | | Extra Claims | Fee from below | Fee Paid |
|---------------|------------|--------------|----------------|----------|
| Total Claims | 11 - 20 ** | = 0 | x 18 | = \$ 0 |
| Independent | 1 - 3 | = 0 | x 86 | = \$ 0 |
| Multiple Dep. | | | * | = \$ 0 |

** or number previously paid, if greater; for Reissues, see below:

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claim in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| 1204 | 84 | 2204 | 42 | ** Reissue ind. claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$0

SUBMITTED BY

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P.O. Box 300
Petaluma, CA 94953-0300
Telephone: (707) 762-5583
Facsimile: (707) 762-5504
Customer No. 33402

Complete if Known

Application Number New
Filing Date Herewith
First Named Inventor Peter J. Hopper et al.
Examiner Name Unknown
Group Art Unit Unknown
Attorney Document No. 100-23800 (P05751)

FEE CALCULATION (continued)

3. Additional Fees

Large Entity Small Entity

Fee Code Fee

| | | | | |
|------|------|------|------|--|
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet |
| 1053 | 130 | 1053 | 130 | Non-English specification |
| 1812 | 2520 | 1812 | 2520 | For filing a request for ex parte reexamination |
| 1804 | 920 | 1804 | 920 | Requesting publication of SIR prior to Examiner action |
| 1805 | 1840 | 1805 | 1840 | Requesting publication of SIR after Examiner action |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month |
| 1254 | 1480 | 2254 | 740 | Extension for reply within fourth month |
| 1255 | 2010 | 2255 | 1005 | Extension for reply within fifth month |
| 1401 | 330 | 2401 | 165 | Notice of Appeal |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal |
| 1403 | 290 | 2403 | 145 | Request for oral hearing |
| 1451 | 1510 | 1451 | 1510 | Petition to institute a public use proceeding |
| 1452 | 110 | 2452 | 55 | Petition to revive-unavoidable |
| 1453 | 1330 | 2453 | 665 | Petition to revive-unintentional |
| 1501 | 1330 | 2501 | 665 | Utility issue fee (or reissue) |
| 1502 | 480 | 2502 | 240 | Design issue fee |
| 1503 | 640 | 2503 | 320 | Plant issue fee |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) |
| 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) |
| 1810 | 770 | 2810 | 385 | For each additional invention be examined (37 CFR 1.129(b)) |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application |

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) \$40

Date:

12-4-03

By:

Mark C. Pickering

Mark C. Pickering, Reg. No. 36,239

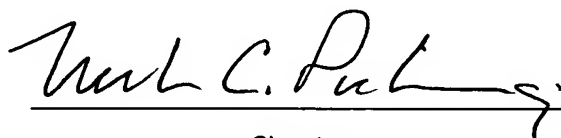
**REQUEST AND CERTIFICATION
UNDER****35 U.S.C. 122(b)(2)(B)(i)**
(Express Mail No. EV342470621US)

| | |
|----------------------|---|
| First Named Inventor | Peter J. Hopper et al. |
| Title | Method of Forming Through-The-Wafer Metal Interconnect Structures |
| Atty Docket Number | 100-23800 (P05751) |

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-4-03

Date



Signature

Mark C. Pickering
Reg. No. 36,239

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.